

Name: \_\_\_\_\_ Consumer #: \_\_\_\_\_

Date of Interview: \_\_\_\_/\_\_\_\_/\_\_\_\_ Site/Program ID: \_\_\_\_\_ [ ]-New Enrollment [ ]-180 Day [ ]-Re-Enrollment

Staff ID #: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_ Signature: \_\_\_\_\_

Type of Review: [\_\_\_\_]-Supervisory [\_\_\_\_]-Peer [\_\_\_\_]-Records [\_\_\_\_]-Other: \_\_\_\_\_

*Developed for Indiana Division of MH by Frederick L. Newman with John McGrew,  
Under the direction of Richard DeLiberty & The Hoosier Assurance Plan Instrument – Child (HAPI-C),  
Advisory Panel, with special acknowledgement to the input from Jeffery Anderson and Thomas Smith.*

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**INSTRUCTIONS:** The purpose of the instrument is to assess functioning and self-management skills relative to the child's age-appropriate development by rating the impact of a problem or symptoms on functioning for the most recent 30 days (unless otherwise specified). The probe question under each item is answered in terms of available evidence from one or more sources; e.g., the child, parent, caregiver/guardian, teacher or institutional record. Ratings at the *minimal* levels describe the degree to which the child is able to manage his or her functioning with some individual effort, but typically without direct external support by others (family, caregiver, or professional). Ratings at the *moderate* levels describe the degree to which the child can modulate the impact of the problem or symptoms on functioning; typically with some help from others (family, caregiver, or professional). The ratings at the most *severe* level describe the degree to which the impact of the problem or symptoms are such that the behavior, functioning, or situation would be out of control or the child would cause danger/harm to self or others without direct intervention(s) by another (family, caregiver, or professional). Refer to the *Scoring Instructions* for specific scoring information. Evidence to support an audit of the record should be provided either on this form or in an accessible clinical narrative, organized under the major headings used in scoring this instrument. If you have *Low Confidence* in your rating, indicate this by marking the LC box, but score the item on the ① to ⑦ scale in any event. Low confidence indicates that you do not have solid evidence on which to base your rating.

#### FACTOR SCORE SUMMARY

#### POSSIBLE FACTOR SUMS



FACTOR A: Affective Symptoms [Sum Items 1 + 2 + 3]	____	[3 – 21]
FACTOR B: Suicide Ideation/Behaviors [Item 4]	____	[1 - 7]
FACTOR C: Abuse [Item 5]	____	[1 - 7]
FACTOR D: Neglect [Item 6]	____	[1 - 7]
FACTOR E: Health/Physical Status [Item 7]	____	[1 - 7]
FACTOR F: Thinking [Sum Items 8 + 9]	____	[2 – 14]
FACTOR G: Family [Sum Items 10 + 11 + 12]	____	[3 – 21]
FACTOR H: School [Sum Items 13 + 14 + 15 + 16]	____	[4 – 28]
FACTOR I: Disruptive Behavior [Sum Items 17 + 18 + 19]	____	[3 – 21]
FACTOR J: Substance Use/Abuse [Sum Items 20 + 21 + 22]	____	[3 – 21]
FACTOR K: Tobacco Use [Item 23]	____	[1 - 7]
FACTOR L: Reliance on Mental Health Services [Item 24]	____	[1 - 7]

#### Diagnoses

AXIS-V [Global Assessment of Functioning – Current: \_\_\_\_]

Primary Dx: \_\_\_\_\_ Secondary: \_\_\_\_\_ Tertiary: \_\_\_\_\_

**FACTOR A: AFFECTIVE SYMPTOMS:**

Factor Score = Sum of Items 1 + 2 + 3 = \_\_\_\_ | \_\_\_\_ | Possible Factor Sum [3 – 21]

**1. CHILD'S or CAREGIVER'S RATING OF SYMPTOM DISTRESS** – Evidence that “The child has feelings or acts in a way that causes the child a lot of distress or interferes with functioning on most days.”

LC None  
☐ ⑦Minimal Difficulty:  
Symptoms controlled with effort  
⑥ ⑤Moderate Difficulty: Moderates symptoms' impact with extra effort & support  
④ ③Severe Difficulty: Does not control symptoms, close supervision required to function  
② ①

Who provided the rating of distress [Child, Parent, or Caregiver]: \_\_\_\_\_

Rate overall level of distress and explore with the child/adolescent those areas covered in the next two items (i.e., signs of anxiety and depression or other signs of affective distress, e.g., symptoms of an eating disorder).

**2. ANXIETY – WORRYING** – Evidence that “The child has worries that interfere with what the child does most days at home, with friends, or at school.”

LC None  
☐ ⑦Minimal Difficulty:  
Symptoms controlled with effort  
⑥ ⑤Moderate Difficulty: Moderates symptoms' impact with extra effort & support  
④ ③Severe Difficulty: Does not control symptoms, close supervision required to function  
② ①

[ ] -Worried that bad things will happen [ ] -Anxious or fearful [ ] -Nightmares [ ] -Fearful due to sustained effects of trauma  
[ ] -Compulsive behavior or excessive rumination [ ] -Anxiety symptoms consistent with an eating disorder

**3. DEPRESSION – SAD, OR BLUE** – Evidence that “The child feels very sad and/or lonely.”

LC None  
☐ ⑦Minimal Difficulty:  
Symptoms controlled with effort  
⑥ ⑤Moderate Difficulty: Moderates symptoms' impact with extra effort & support  
④ ③Severe Difficulty: Does not control symptoms, close supervision required to function  
② ①

[ ] -Feeling lonely and having no friends [ ] -Difficulty sleeping, eating [ ] -Irritability [ ] -Loss of interest or pleasure [ ] -Difficulty with concentration  
[ ] -Feelings of worthlessness [ ] -Pervasive sadness [ ] -Depressive symptoms consistent with an eating disorder

**FACTOR B: SUICIDE IDEATION/BEHAVIORS:**

Factor Score = |\_\_\_| Possible Factor Sum [1 – 7]

4. **SUICIDAL THOUGHTS/ACTIONS &/or SELF-INJURIOUS BEHAVIORS** – Evidence that "The child has had thoughts of suicide or has made a suicide attempt, or has had thoughts or taken action to injure him or herself."

LC None

☐ ⑦

Minimal Difficulty:  
Symptoms controlled  
with effort  
⑥ ⑤

Moderate Difficulty: Moderates  
symptoms' impact with  
extra effort & support  
④ ③

Severe Difficulty: Does not  
control symptoms, close  
supervision required to function  
② ①

[ ] -Suicidal thoughts, intent or plan [ ] -Self mutilation [ ] -Taking substances with the intent to be injurious  
[ ] -Self-injurious behaviors due to other problems (e.g., ADHD, autism)

**FACTOR C: ABUSE:**

Factor Score = |\_\_\_| Possible Factor Sum [1 – 7]

5. **ABUSE** – Evidence that "The child has been physically, sexually, or emotionally abused in a way that threatens the child's safety or well-being."

LC None

☐ ⑦

Minimal Difficulty:  
Avoids impact or  
manages with effort  
⑥ ⑤

Moderate Difficulty: Abuse's  
impact on functioning  
moderated with extra effort &  
support  
④ ③

Severe Difficulty: Severe  
impact on functioning,  
requires close supervision &  
support  
② ①

Parent/Caregiver being rated is \_\_\_\_\_

[ ] -Physical abuse [ ] -Psychological (verbal) abuse [ ] -Sexual abuse [ ] -Substance abuse by parent involved [ ] -Other

**FACTOR D: NEGLECT:**

Factor Score = |\_\_\_| Possible Factor Sum [1 – 7]

6. **NEGLECT** – Evidence that "The child has been neglected in a way that threatens the child's safety or well-being."

LC None

☐ ⑦

Minimal Difficulty:  
Avoids impact or  
manages with effort  
⑥ ⑤

Moderate Difficulty: Neglect's  
impact on functioning  
moderated with extra effort &  
support  
④ ③

Severe Difficulty: Severe  
impact on functioning,  
requires close supervision &  
support  
② ①

Parent/Caregiver being rated is \_\_\_\_\_

Parent/Caregiver is unavailable to provide proper care due to: [ ] -Work [ ] -Illness [ ] -Substance abuse/use [ ] -Indifferent

[ ] -Family environment has toxic qualities ( ) -Vermin/Pests ( ) -Unclean [ ] -Neighborhood dangerous, child of age where left under supervised is dangerous

**FACTOR E: HEALTH/PHYSICAL STATUS:**Factor Score =      Possible Factor Sum [1 – 7]

7. **CHILD'S HEALTH/PHYSICAL STATUS** – Evidence that "The child has medical or physical problems that have been interfering with common daily activities."

LC None

☐ ⑦

*Minimal Difficulty:*  
Manages daily activities with effort

⑥ ⑤

*Moderate Difficulty:* Moderates impact on functioning with extra effort & support

④ ③

*Severe Difficulty:* Severe impact on functioning, requires continued supervision & support

② ①

[ ]-Chronic [ ]-Acute [ ]-Both [ ]-Consumer pregnant History of ( )-Seizures ( )-Allergies ( )-Asthma ( )-Other  
[DO NOT INCLUDE DEPRESSION, ADHD, AUTISM OR DEVELOPMENTAL DISABILITY HERE]

**FACTOR F: THINKING:**Factor Score = Sum of Items 8 + 9 =      Possible Factor Sum [2 – 14]

8. **TIME-TASK ORIENTATION &/or COMPLETING ASSIGNED TASKS** – Evidence that "The child has trouble thinking, remembering, or with the starting or finishing of a task."

LC None

☐ ⑦

*Minimal Difficulty:*  
Compensates with effort

⑥ ⑤

*Moderate Difficulty:* Moderates impact on functioning with extra effort & support

④ ③

*Severe Difficulty:* Does not compensate, intervention required

② ①

[ ]-Loses track of time [ ]-Forgets recent events [ ]-Unable to stay on task [ ]-Trouble shifting tasks [ ]-Difficulty learning new tasks  
[ ]-Too hyperactive to concentrate [ ]-Memory problems or unevenness Source: ( )-Physical ( )-Medication ( )-Substance use  
Difficulty with: [ ]-Performing assigned household chores [ ]-Doing what is expected in neighborhood, or at church or community functions

9. **PROBLEM SOLVING** – Evidence that "The child has difficulty solving problems (including calling upon others for assistance)."

LC None

☐ ⑦

*Minimal Difficulty:* Problem solving done with effort

⑥ ⑤

*Moderate Difficulty:* Problem solving done only with extra effort & support

④ ③

*Severe Difficulty:* Unable to problem solve, requires close supervision

② ①

[ ]-Agitated when confronted with a problem [ ]-Difficulty thinking through the problem and its consequences  
[ ]-Difficulty choosing appropriate alternatives in making decisions

**FACTOR G: FAMILY:**

Factor Score = Sum of Items 10 + 11 + 12 = |\_\_|/|\_\_| Possible Factor Sum [3 – 21]

Assumed Parent(s)/Caregiver(s) being rated is: \_\_\_\_\_

**10. PARENTAL/CAREGIVER SUPPORT OF CHILD'S GROWTH** – Evidence that "The parent(s)/caregiver(s) has difficulty supporting the child's growth by communicating with the child about her/his needs and concerns or encouraging the child to try new things, or they seem to ignore signs of growth, or even to inhibit the child's growth."

LC None

○ ⑦

**Minimal Difficulty:**  
Parent(s)/Caregiver(s) supports growth with effort

⑥ ⑤

**Moderate Difficulty:**  
Parent(s)/Caregiver(s) support for growth limited, requires extra effort & support

④ ③

**Severe Difficulty:**  
Parent(s)/Caregiver(s) does not support growth without supervision

② ①

[ ]-Parent(s)/Caregiver(s) has difficulty recognizing that developmental change is possible or desirable [ ]-Parent(s)/Caregiver(s) health/physical status inhibits needed attention [ ]-Parent(s)/Caregiver(s) do not recognize that developmental change is possible or desirable [ ]-Parent(s)/Caregiver(s) too tired, overworked to provide support [ ]-Child feels that no parent(s)/caregiver(s) cares to, or takes time to listen to child's problems

**11. PARENT/CAREGIVER SHARING OF TIME/RESOURCES & INTERACTING WITH AFFECTION & CARE** – Evidence that "The parent(s)/caregiver(s) have difficulty finding time to be with the child and/or difficulty sharing their favorite things with the child in a way that communicates affection and caring."

LC None

○ ⑦

**Minimal Difficulty:**  
Parent(s)/Caregiver(s) shares time/resources with the child and interacts with affection/caring with some effort

⑥ ⑤

**Moderate Difficulty:**  
Parent(s)/Caregiver(s) requires extra effort & support to share time/resources with the child and interact with affection/caring

④ ③

**Severe Difficulty:**  
Parent(s)/Caregiver(s) cannot share time/resources with the child and interact with affection/caring without supervision

② ①

Seldom does the parent(s)/caregiver(s): ( )-Spend time with the child ( )-Share resources with the child [ ]-Parent(s)/Caregiver(s) health/physical status inhibits needed attention [ ]-No parent(s)/caregiver(s) can or finds it easy to express such caring/loving messages

**12. EFFECTS OF CHILD'S BEHAVIOR ON FAMILY AND FAMILY INTERACTIONS** – Evidence that "The child's behavior negatively influences parent's/caregiver's functioning or family relationships."

LC None

○ ⑦

**Minimal Difficulty:**  
Impact of child's behavior on the family managed with effort

⑥ ⑤

**Moderate Difficulty:** Impact of child's behavior on the family is moderated with extra effort & support

④ ③

**Severe Difficulty:**  
Parent(s)/Caregiver(s) copes with child's behavior only with supervision

② ①

[ ]-Disobedient [ ]-Insists on own way, [ ]-Discourteous [ ]-Family blaming and discord and not taking responsibility

[ ]-Time/effort consumed by family is considered to be a hardship [ ]-Expense required to help family cope considered to be a hardship

**FACTOR H: SCHOOL:** Factor Score = Sum of Items 13 + 14 + 15 + 16 =           Possible Factor Sum [4 – 28]

**13. SCHOOL SUPPORT** – Evidence that “The child requires special resources or services to attend and participate in classes in an age appropriate manner.”

LC	None	Minimal Difficulty without services: Can manage with effort	Moderate Difficulty without services: Can manage with extra effort & support	Severe Difficulty without services: Cannot manage without supervision or support
<input type="radio"/>	<input type="radio"/> 7	<input type="radio"/> 6 <input type="radio"/> 5	<input type="radio"/> 4 <input type="radio"/> 3	<input type="radio"/> 2 <input type="radio"/> 1

[ ] -Physical access aids [ ] -Emotional/behavioral control procedures [ ] -Tutoring [ ] -Supports for MR/DD [ ] -Other

**14. SCHOOL ACHIEVEMENT** – Evidence that “The child has difficulty achieving at an age appropriate level.”

LC	None	Minimal Difficulty: Meets expectations with effort	Moderate Difficulty: Meets expectations with extra effort & support	Severe Difficulty: Does not meet expectations without supervision
<input type="radio"/>	<input type="radio"/> 7	<input type="radio"/> 6 <input type="radio"/> 5	<input type="radio"/> 4 <input type="radio"/> 3	<input type="radio"/> 2 <input type="radio"/> 1

[ ] -Hyperactive [ ] -Inattentive/Bored [ ] -Difficulty keeping up with teacher’s expectations [ ] -Underachieves

**15. INTERACTIONS WITH CLASSMATES & PEERS** – Evidence that “The child has difficulty getting along with classmates in school settings, and/or with peers outside of school.”

LC	None	Minimal Difficulty: Interacts with classmates & peers with effort	Moderate Difficulty: Moderates difficulty in interactions with classmates & peers with extra effort & support	Severe Difficulty: Unable to interact successfully without supervision
<input type="radio"/>	<input type="radio"/> 7	<input type="radio"/> 6 <input type="radio"/> 5	<input type="radio"/> 4 <input type="radio"/> 3	<input type="radio"/> 2 <input type="radio"/> 1

[ ] -Shy and withdrawn from classmates or peers [ ] -Aggressive toward classmates or peers [ ] -Refuses to interact [ ] -Tries to interact but does so in inappropriate ways [ ] -Feels isolated, little to no friends’ support [ ] -Has access to friends, but is alienated from them [ ] -Shows no/little interest in others

**16. INTERACTIONS WITH TEACHERS & ADMINISTRATORS** – Evidence that “The child has difficulty getting along with teachers and other adults working at school.”

LC	None	Minimal Difficulty: Interacts with teachers & administrators with effort	Moderate Difficulty: Moderates difficulty in interactions with teachers & administrators with extra effort & support	Severe Difficulty: Unable to interact successfully without supervision
<input type="radio"/>	<input type="radio"/> 7	<input type="radio"/> 6 <input type="radio"/> 5	<input type="radio"/> 4 <input type="radio"/> 3	<input type="radio"/> 2 <input type="radio"/> 1

[ ] -Aggressive [ ] -Shy or fearful [ ] -Inappropriate [ ] -Refuses to talk or interact [ ] -Does not do what is told to do

**FACTOR I: DISRUPTIVE BEHAVIOR:** Factor Score = Sum of Items 17 + 18 + 19 =              Possible Factor Sum [3 – 21]

<b>17. NEGATIVE PEER INFLUENCE</b> – Evidence that “The child follows the lead of peers regardless of danger or appropriateness.”	<i>LC None</i>  <input type="radio"/> ⑦	<i>Minimal Difficulty: Can avoid negative peer influence with effort</i>  ⑥ ⑤	<i>Moderate Difficulty: Moderates negative peer influence with extra effort &amp; support</i>  ④ ③	<i>Severe Difficulty: Cannot avoid negative peer influence without supervision</i>  ② ①
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[ ]-Does not question appropriateness or dangers of peer direction [ ]-Aware of inappropriateness but follows anyway [ ]-Inappropriate peers

<b>18. DISRUPTIVE &amp; INAPPROPRIATE BEHAVIOR</b> – Evidence that “The child has trouble controlling her or his behavior toward other kids, or adults (such as saying angry things toward them, hitting them, or touching them in a way that upsets them).”	<i>LC None</i>  <input type="radio"/> ⑦	<i>Minimal Difficulty: Controls behavior with effort</i>  ⑥ ⑤	<i>Moderate Difficulty: Controls behavior with extra effort &amp; support</i>  ④ ③	<i>Severe Difficulty: Little or no control without supervision</i>  ② ①
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[ ]-Heightened emotionality, or agitation which is frightening to others [ ]-Interpersonal conflicts at home, school, or in the community  
 [ ]-Talks abusively to others [ ]-Physically or sexually assaultive ( )-Actual ( )-Threatened [ ]-Inappropriate sexual behaviors/advances  
 [ ]-Homicidal ( )-Actual ( )-Threatened [ ]-Exhibits bizarre behaviors [ ]-Destructive to property [ ]-Behavior associated with substance use

<b>19. RISK OR CRIMINAL BEHAVIOR</b> – Evidence that “The child behaves in ways that lead to getting hurt or into trouble, or to involvement with the criminal justice system.”	<i>LC None</i>  <input type="radio"/> ⑦	<i>Minimal Difficulty: Avoids risk or criminal behavior with effort</i>  ⑥ ⑤	<i>Moderate Difficulty: Avoids risk or criminal behavior with effort &amp; support</i>  ④ ③	<i>Severe Difficulty: Does not avoid risk or criminal behavior without supervision</i>  ② ①
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[ ]-Criminal behavior(e.g., theft, prostitution, deal drugs) [ ]-Unsafe sex, including “sex for drugs” [ ]-Frequent/excessive use of substances  
 [ ]-Truancy [ ]-Expulsion or suspension due to assaultive or illegal behavior [ ]-Participates in high risk behavior (e.g., reckless driving)  
 [ ]-Follows delinquent peer recommendations to participate in risky or criminal behavior

<b>FACTOR J: SUBSTANCE USE/ABUSE:</b>		Factor Score = Sum of Items 20 + 21 + 22 =  __   __		Possible Factor Sum [3 – 21]	
<b>ITEMS 20-22: SUBSTANCE ABUSE</b> - Evidence that <i>“The child uses alcohol or illegal drugs.”</i> Use <i>Substance Abuse Scale</i> in the manual, and be sure that the rating is age adjusted. Note that the clinical notes should contain the information related to each of the four sub-scales		<i>LC None</i>   		<i>Mild-Minimal</i> No evidence of persistent- recurrent impact on functioning	
				<i>Moderate</i> Evidence of use with moderate or intermittent impairment on functioning	
				<i>Severe-Extreme: Persistent use,            marked impairment &amp;            withdrawal symptoms</i>	
20: ALCOHOL or DRUG use last 30 days (average) <u>IF ALCOHOL</u>		○ ⑦	⑥ ⑤	④ ③	② ①
__  - # drinks per week,  __  - \$ per mo. (optional) <u>IF DRUG(S)</u>					
__  - # different drugs,  __  - \$ per mo. (optional)					
21: Use over months 2 through 12, check whether: [ ] -Alcohol or [ ] -Drugs or [ ] -Both		○ ⑦	⑥ ⑤	④ ③	② ①
22: Use over life time, check whether: [ ] -Alcohol or [ ] -Drugs or [ ] -Both <i>Either here or in your clinical narrative (as agency policy dictates), list the drug(s) used over last 30 days.</i>		○ ⑦	⑥ ⑤	④ ③	② ①
Also note when other factor ratings are affected by substance use. [ ] -1: Symptoms of Distress/Mood      [ ] -2: Community Functioning      [ ] -3: Social Support, Social Skills & Housing					

<b>FACTOR K: TOBACCO USE:</b>		Factor Score =  __		Possible Factor Sum [1 – 7]	
<b>23. TOBACCO USE</b> – Evidence that <i>“The child uses tobacco.”</i> Use <i>Substance Abuse Scale</i> in the manual, and be sure that the rating is age adjusted. Note that the clinical notes should contain the information related to each of the 3 sub-scales		<i>LC None</i>   		<i>Mild-Minimal</i> No evidence of persistent- recurrent use	
				<i>Moderate</i> Evidence of moderate use	
				<i>Severe-Extreme:</i> Persistent use, evidence of addiction (withdrawal symptoms)	
TOBACCO use last 30 days (average)		○ ⑦	⑥ ⑤	④ ③	② ①
__   __   __  - Cigarettes: # per week					
__   __   __  - Pipe or Cigars: # smoked per week					
__   __   __  - Chewing tobacco or snuff: # per week					

<b>FACTOR L: RELIANCE ON MENTAL HEALTH SERVICES:</b>		Factor Score =  __		Possible Factor Sum [1 – 7]	
<b>24. RELIANCE ON MENTAL HEALTH SERVICES</b> – Evidence that <i>“The child and/or the parent(s)/caregiver(s) rely on services to maintain the child’s role performance and/or functioning in the community.”</i>		<i>LC None</i>   		<i>Minimal Reliance:</i> Can manage activities with effort	
				<i>Moderate Reliance :</i> Can manage with extra effort & support	
				<i>Severe-Total Reliance:</i> Cannot manage without supervision or support	
[ ] - New Case [ ] - Inpatient psychiatric or substance abuse history		○ ⑦	⑥ ⑤	④ ③	② ①
__  -times in inpatient psychiatric facility					
__  -times in inpatient substance abuse facility					
[ ] -Potential impact on emotional/behavioral status if services are decreased or withheld    [ ] -Behavioral health treatment history    [ ] -Sustained effects of trauma [ ] -Frequent service contacts (3+ contacts per week)    [ ] -Arrests  __ /times in last year    [ ] -Current legal status -- Cite status					